European Research Council

ERC Grant Schemes

Guide for Applicants

01 August 2007

[This updated version provides additional and/or modified information on the 2nd stage of the Starting Grant application process. For the next ERC Call for Advanced Grant proposals, which will be published later this year, a revised version of the Guide will then become available.]

The Guide is published by the ERC Scientific Council on http://erc.europa.eu. It can also be downloaded from the CORDIS page on http://cordis.europa.eu
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Changes compared to version dated 30 March 2007

- Page 16 (§3.2.2) and Annex 2: Correcting name of font type to be used in the proposal from "Times Roman" to "Times New Roman", as well as change expression for line spacing from "1.0" to "single".
- Page 17 (§3.2.2), Annex 2 and 7: Changes related to "Ethical Issues", ie information on ethical issues need not to be included in the Part B of the research proposal but - if applicable - should be provided as separate Supporting Document to the proposal, which needs to be uploaded in pdf-format on EPSS.
- Page 24 (§4.1.2-Peer review evaluation and ranking): in the sentence "PIs with the highest ranked proposals will be invited for an interview by the relevant ERC panel." the part "with the highest ranked proposals" has been deleted.
- Page 25 (§4.3-Redress): The text from the "ERC Rules for Submission of Proposals" (http://erc.europa.eu/pdf/erc-evrules_en.pdf) is replacing the previous text.
- Annex 4 "ERC Starting Grant (Stage 2) Commitment of the Host Institution" has been modified.
- Annex 8 "Specific Performance obligations of beneficiary" has been removed.
- Change of term "hosting institution" to "host institution" in the entire document.
- Hyperlinks to websites have been updated.
Purpose of the Guide

This guide provides practical information to potential applicants in preparing and submitting an application for a European Research Council (ERC) grant. In addition, it provides a general overview of the ERC peer review evaluation process, the ERC grant agreement and the underlying principles for the management of ERC grants.

For detailed information on the ERC peer review evaluation process, the ERC grant agreement and the management of ERC grants, the following documents are available:

- **Guide for ERC Grant Holders**¹: This guide provides practical information to ERC grant holders on the administration and management of ERC grants, including monitoring and claiming of project costs, the scientific and financial reporting procedure, and the process for making changes to the project. It includes also information to applicants that have been offered an ERC grant on the process to prepare the grant agreement and the associated terms and conditions.

- **Guide for ERC Peer Reviewers**²: This guide provides practical information to peer reviewers as well as detailed information on the peer review evaluation and project selection process.

Note: As with other parts of the Seventh Framework Programme, National Contact Points (ERC NCPs) have been set up across Europe³ to provide information and personalised support to ERC applicants in their native language. The mission of the ERC NCPs is to raise awareness, inform and advise on ERC funding opportunities as well as to support potential applicants in the preparation, submission and follow-up of ERC grant applications. Contact details are available at [http://erc.europa.eu/index.cfm?fuseaction=page.ncpList](http://erc.europa.eu/index.cfm?fuseaction=page.ncpList).

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³ This applies to EU Member States and Associated Countries. Some third countries also provide this service.
1. What is the ERC?

The European Research Council (ERC) is a newly-created pan-European funding organisation, designed to support the best scientists, engineers and scholars in Europe.

The ERC’s mandate is to encourage the highest quality research in Europe through competitive funding and to support investigator-initiated frontier research across all fields of research, on the basis of scientific excellence.

Grants are awarded and managed according to simple procedures that maintain the focus on excellence, encourage creativity and combine flexibility with accountability.

The ERC, which is established and funded through the Seventh Framework Programme, complements other funding schemes in Europe, such as those of research funding agencies operating at the national level and those within the Seventh EU Framework Programme.

The ERC consists of a Scientific Council and a dedicated implementation structure; it operates under conditions of autonomy and integrity, guaranteed by the European Commission, to which it is accountable.

1.1. The role of the ERC Scientific Council

The Scientific Council establishes the overall scientific strategy of the ERC, including the annual work programme where the calls for proposals and the corresponding funding rules and selection criteria are defined.

The Scientific Council establishes and oversees the ERC's scientific management and the implementation of the work programme, including the peer review and project selection processes and the selection of peer review experts.

1.2. The ERC Dedicated Implementation Structure

The ERC Dedicated Implementation Structure (ERC-DIS) implements and manages ERC operations. It executes the annual work programme as established by the Scientific Council, implements calls for proposals and organises peer review evaluation in accordance with methodologies established by the Scientific Council, and establishes and manages grant agreements. Additionally, it provides information and support to applicants and grant holders.

The European Commission will set up the ERC Dedicated Implementation Structure (ERC-DIS) as an executive agency. Pending the establishment and operability of the executive agency, its implementation tasks shall be executed by a dedicated service of the European Commission.
2. ERC Grant Schemes

2.1. What kinds of ERC grants are available?

Two types of ERC grants are available to support researchers in carrying out frontier research projects:

2.1.1 ERC Starting Independent Researcher Grant

The ERC Starting Independent Researcher Grant scheme (ERC Starting Grant) aims to provide adequate support to researchers at the stage at which they are intending to establish or are already leading an independent research team or, depending on the field, developing an independent research programme. Researchers applying for an ERC Starting Grant must be able to demonstrate their potential to perform world-class research.

2.1.2 ERC Advanced Investigator Grant

The ERC Advanced Investigator Grant scheme (ERC Advanced Grant) aims to encourage and support excellent, innovative and investigator-initiated research projects carried out by leading advanced investigators. This funding scheme complements the ERC Starting Grant scheme by targeting researchers who have already established themselves as being independent research leaders in their own right. The first call for the ERC Advanced Investigator Grant will be launched in mid 2007.

2.2. Who can apply for an ERC grant?

ERC Grants support projects which are carried out by individual research teams, headed by a single "Principal Investigator" of any nationality and, if necessary, include additional team members. The guiding principles of ERC grants are highlighted in Box 1.

An application for a grant should be submitted by a single “Principal Investigator” (PI) in conjunction with and on behalf of her/his “host institution.”

The host institution (e.g. a university, a research organisation or a research-performing company) is the applicant legal entity which engages and hosts the Principal Investigator, with the attached commitment that this institution will grant the Principal Investigator the independence to direct the project and manage the research funding.

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4 In certain fields (e.g. in the humanities and mathematics), research is often performed individually, aside from guiding research students. The term “team” is therefore used in the broadest sense. It includes cases where an individual works independently. Since the focus of ERC grants is on the Principal Investigator, the concept of an individual team is fundamentally different from that of a traditional “network” or “research consortium”; proposals of the latter type will not be acceptable under this scheme.
To apply for an ERC grant, the Principal Investigator presents a frontier research project and an individual research team, which will work under his/her responsibility. Depending on the field, a PI may also work alone.\textsuperscript{4}

2.2.1 The Principal Investigator

The Principal Investigator (PI) is the project's lead researcher. He/she can be of any age (see box 2), nationality or country of residence.

In order to be eligible for a grant, the PI must be independent or, for the ERC Starting Grant, at the stage at which she/he is establishing independence\textsuperscript{5} (i.e. starting or leading an independent research team) or, depending on the field, establishing an independent research programme. Further details are provided in Box 2.

Independence implies that the PI has the authority to\textsuperscript{6}:

- Apply for funding independently of senior colleagues;
- Direct the project, manage the research funding and make appropriate resource allocation decisions;
- Publish as senior author and invite as co-author only those who have contributed substantially to the reported work;
- Supervise team members, including research students or others;
- Have access to reasonable space and facilities for conducting the research.

The Principal Investigator does not necessarily need to be employed by the host institution at the time when the proposal is submitted.

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\textsuperscript{5} The ERC peer review evaluation panels will assess whether the requested ERC Starting Grant and the conditions specified by the host institution will guarantee independence or will allow the PI to make the transition to independence.

\textsuperscript{6} Note that the conditions of independence provided to the PI and his/her team are consistent with the "The European Charter for Researchers" and "The Code of Conduct for the Recruitment of Researchers", OJ C (2005) 576, 11.3.2005.
2.2.2 The Host Institution

The PI must be supported by a legally established host institution. This is the "applicant legal entity" for the ERC grant, which is legally entitled to receive ERC funds on behalf of the PI. If not already employed by the host institution, the PI must be engaged by the latter at least for the duration of the grant and is committed to the PI's independence and to provide administrative support in managing the ERC research grant.

This host institution can be any legal entity (public or private), which has the infrastructure and capacity to carry out a frontier research project, such as a university, research organisation or research-performing company.

The host institution must be situated in the European Union or in an Associated Country. It may also be an International European Interest Organisation.

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7 The rules and obligations between the host organisation and the PI are set out in a supplementary agreement (see section 5).
8 The Associated Countries are: a) Iceland, Liechtenstein, and Norway (subject to amendment procedure of EEA agreement); b) Switzerland, Israel (subject to satisfactory conclusion of bilateral S/T agreements); c) Turkey, Croatia, Serbia, FYR of Macedonia (subject to satisfactory completion of the decision-making procedure associating these countries via a Memorandum of Understanding).
Other countries may become associated during the course of FP7. The latest news will be posted on the CORDIS and ERC website.
9 e.g. CERN, EMBL, ILL, ESO, ESRF.
In most cases, the PI’s host institution is the only legal entity which participates in the project.

### 2.2.3 The Team Members

The constitution of the individual research team is flexible. Commonly, it involves other researchers from the PI’s research group or from the same organisation as "team members".

However, depending on the nature of a project the research team may also involve team members from other research organisations situated in the same or a different country. Therefore, research teams can be of national or trans-national character.\(^{10}\)

Team members can be of any age, nationality and country of residence. Independence is not required for team members.

Host Institutions of team members may be located in any country, including non-European third countries. Their participation (and possible funding to support the work of the respective team members) is subject to appraisal by the ERC peer review evaluation panels, which assess whether their involvement is properly justified and essential in terms of scientific competences and capacities.

### 2.3. What kind of research can be funded?

ERC grants aim to support "frontier research", in other words the pursuit of questions at or beyond the frontiers of knowledge, without regard for established disciplinary boundaries.

Applications may be made in any field of research - including the social sciences and humanities - with particular emphasis on the frontier of science and scholarship.\(^{11}\)

In particular, proposals of an interdisciplinary nature which cross the boundaries between different fields of research, proposals in new and emerging fields and "high-risk, high-gain" proposals are encouraged.

In essence, ERC-supported research should aim to broaden scientific and technological knowledge. As such, projects should not be linked to commercial objectives.

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\(^{10}\) Note: With the focus on the Principal Investigator, the concept of individual team is fundamentally different from that of a traditional "network" or "research consortium"; proposals of the latter type will not be acceptable for the ERC.

\(^{11}\) Nuclear energy research on fission and fusion should be submitted to calls under the EURATOM Research Programme.
Some frontier research activities and methodologies may have ethical implications or may raise questions which will require a sound ethical assessment (see Box 3 and Annex 7). This may result in proposals not being accepted or being accepted only under certain conditions.

**Box 3: Dealing with ethical issues**

Applicants should indicate whether the proposed research raises sensitive ethical questions such as research involving human beings, human biological samples, personal data, genetic information or animals.

Research supported by an ERC grant must respect fundamental ethical principles. Fundamental ethical principles which must be respected include those reflected in the Charter of Fundamental Rights of the European Union. Furthermore, due account should be taken of the Protocol on the Protection and Welfare of Animals, to reduce the use of animals in research and testing (with a view to ultimately replacing animal use), to involve animals with the lowest degree of neuropsychological sensitivity, and to cause the least pain, suffering, distress or lasting harm.

The following activities cannot be funded:

- Research activities aimed at human cloning for reproductive purposes.
- Research activities intended to modify the genetic heritage of human beings which could make such changes heritable.
- Research activities intended to create human embryos solely for the purpose of research or for the purpose of stem cell procurement, including by means of somatic cell nuclear transfer.

As regards human embryonic stem cell research, the ERC is bound by the Commission’s commitment to follow the practice of the Sixth framework programme and exclude from financial support research activities destroying human embryos, including for the procurement of stem cells. The exclusion of funding of this step of research will not prevent ERC funding of subsequent steps involving human embryonic stem cells.

Applicants must ensure that the research proposed respects all national rules and procedures. Where necessary, approval must be sought from the relevant national or local ethics committee prior to the start of the project.
2.4. What is the typical size of an ERC grant?

ERC Starting Grants last up to five years and provide €100,000 to €400,000 of funding per year, amounting to a total of €0.5 to 2.0 million per grant.¹²

ERC Advanced Grants last up to five years and provide €100,000 to €500,000 of funding per year, amounting to a total of €0.5 to 2.5 million per grant.¹²

The costs which can be covered by an ERC grant are described in Box 4.

The requested budget should reflect the PI's estimation of the real project costs, taking account of the nature of the project and team and whether it is intended to set up a new team or add support to an established team.

The level of the grant offered will be assessed and determined by the ERC peer review evaluation panel on the basis of the essential requirements of the project, judged against the requested budget of the proposal.

¹² The level of the grant represents a maximum overall figure. Costs will be reimbursed on the basis of the amounts actually disbursed for the project.
Box 4: Eligible and non-eligible direct and indirect costs

An ERC grant can cover up to 100% of the total eligible direct costs of the research plus a contribution towards indirect costs, which cannot exceed 20% of the total eligible direct costs (excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the beneficiary).

Costs claimed should be in line with the host organisation's own accounting rules.

**Direct eligible costs** are those which support all the research, management, training and dissemination activities necessary for the conduct of the project, such as:
- Personnel Costs
- Equipment Costs
- Consumables
- Travel and Subsistence Costs
- Publication Costs (page charges and related fees for publication of results)

**Indirect eligible costs** are those which cannot be identified as directly attributable to the project, but which are incurred in direct relationship with the project's direct eligible costs, such as:
- Costs related to general administration and management;
- Costs of office or laboratory space, including rent or depreciation of buildings and equipment, and related expenditure such as water, heating, electricity,
- Maintenance, insurance and safety costs;
- Communication expenses, network connection charges, postal charges and office Supplies;
- Common office equipment such as PC’s, laptops, office software;
- Miscellaneous recurring consumables.

**Non-eligible costs**, in particular:
- Any identifiable indirect taxes, including VAT or duties;
- Interest owed;
- Provisions for possible future losses or charges;
- Exchange losses;
- Costs declared, incurred or reimbursed in respect of another Community project;
- Costs related to return on capital;
- Debt and debt service charges;
- Excessive or reckless expenditure;

cannot be reimbursed through the ERC grant.
3. Applying for an ERC Grant

An ERC grant application should be submitted by a single Principal Investigator (PI) in conjunction with and on behalf of her/his host institution (the "applicant legal entity").

To apply for an ERC grant, the PI presents a frontier research project and in most cases an individual research team, which will work under his/her responsibility.

3.1. When can I apply?

ERC grant applications can be submitted only in response to a “call for proposals”. Calls are published on the ERC website (http://erc.europa.eu), the CORDIS website (http://cordis.europa.eu/fp7/home_en.html) and in the Official Journal of the European Union (http://europa.eu.int/eur-lex/en/oj).

Deadlines for the submission of ERC grant applications are specified in each “call for proposals” and in the latest ERC work programme.

3.2. How can I submit an ERC Starting Grant (ERC StG) application?

The key features of the ERC StG application procedure are highlighted in Box 5.

Box 5: Key features of ERC Starting Grant application procedure

- Two-stage application/evaluation procedure:
  - 1st stage – Outline Proposal (max 8 pages, see section 3.2.2)
  - 2nd stage – Full Proposal (max 16 pages, see section 3.2.2)

- Essential components of an ERC grant application (see annexes 1&2):
  a) CV + self-evaluation of the PI's research achievements + funding ID
  b) Brief description of scientific and technical aspects of the project proposal
  c) Description of the scientific environment and resources

- Electronic submission via EPSS only (see section 3.2.1 and 3.2.3)

3.2.1 Pre-Registration

Principal Investigators (PIs) need to pre-register their intention to submit a proposal via the web-based EPSS (the Electronic Proposal Submission System, see section 3.2.3) in

order to receive a login name and password for the proposal submission via EPSS. This should be done as early as possible and at least three weeks prior to the deadline for the submission of proposals.\footnote{Note: The three-week-limit is not applicable to the first call for proposals for the ERC Starting Grant.}

Pre-registration requires a short statement indicating the name of the PI, the title of the proposal and the preferred choice(s) of evaluation panels (using the codes indicated in Annex 6).\footnote{Pre-registration allows the ERC to estimate and provide the required resources and expertise for the ERC peer review evaluation process and to determine in advance the likely demand for funds.}

Pre-registration is needed only before a stage 1 submission of an outline proposal. It is not required for a stage 2 submission since only those proposals which successfully pass stage 1 are invited to submit a stage 2 full proposal.

### 3.2.2 Preparing an ERC StG grant application

The application procedure consists of two stages. In stage 1, a proposal should describe the project and the qualifications of the PI. Successful PIs in stage 1 are invited to submit a more detailed proposal by the deadline of stage 2.

In both stages, a complete ERC StG grant application involves three distinct components:
- The administrative forms
- The research proposal
- The supporting documentation

#### The Administrative Forms

These web-based forms (Annex 1) must be filled in via EPSS and include administrative details on the PI and the PI's host institution (if applicable also those of host institutions of team members). Basic financial information on the requested ERC Grant needs to be filled as well. Applicants should specify which ERC peer review evaluation panel they consider to be most relevant to their proposal (i.e. the core scientific field involved, see Annex 6) and indicate one or more keywords (i.e. other fields involved and selected from a drop-down list, see Annex 6). The assignment to peer reviewers will be made by the Panel Chairs on the basis of this information.

#### The Research Proposal

The research proposal needs to be uploaded electronically on EPSS in PDF format. The components to be included in the research proposal in each stage and the maximum length of each are listed in the table below (more detailed information/templates are provided in Annex 2):
<table>
<thead>
<tr>
<th>Proposal Components – ERC StG Grant</th>
<th>Stage 1</th>
<th>Stage 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) CV and a self-evaluation of the Principal Investigator's research achievements, including a succinct &quot;funding ID&quot; which must specify any current research grants and any on going application for work related to the proposal.</td>
<td>3 pages</td>
<td>4 pages</td>
</tr>
<tr>
<td>b) Description of objectives and scientific and technical content of the project</td>
<td>4 pages</td>
<td>10 pages</td>
</tr>
<tr>
<td>c) Description of the scientific environment and resources</td>
<td>1 page</td>
<td>2 pages</td>
</tr>
<tr>
<td>TOTAL</td>
<td>8 pages</td>
<td>16 pages</td>
</tr>
</tbody>
</table>

Additionally, the following parameters **must** be respected for the layout:

<table>
<thead>
<tr>
<th>Page Format</th>
<th>Font Type</th>
<th>Font Size</th>
<th>Line Spacing</th>
<th>Margins</th>
</tr>
</thead>
<tbody>
<tr>
<td>A4</td>
<td>Times New Roman</td>
<td>At least12</td>
<td>single</td>
<td>At least 2.0 cm</td>
</tr>
</tbody>
</table>

**Only the material that the proposal contains within the above-mentioned page limits while respecting the layout parameters will be evaluated.**

The information provided on each of these components should be sufficiently comprehensive to allow the peer reviewers to assess the scientific excellence of the proposal according to the evaluation criteria (the evaluation criteria are listed in Annex 5).

In order to determine the required level of funding for a project, PIs should determine the amount of funding considered necessary to fulfil their objectives and the duration of the project in both stage 1 and stage 2 of the application procedure. This should be justified with supporting information. On this basis, the ERC peer review evaluation panel will recommend the level of funding and duration of the grant, taking into account the needs of the project (e.g. research field, size of the team) and whether it is intended to set up a new, or add support to an established or newly established, team (see Box 4 for information on eligible and non-eligible costs).

Applications which involve research activities that raise ethical issues should at stage 1 fill in the Ethical Issues Table and at stage 2 provide explanatory information in a separate document (see below "supporting documents"). Further guidelines are provided in Box 3 and in Annex 7.

The three components of the research proposal must be submitted in one single PDF file (see Section 3.2.3).
Please note that the working language of the peer review evaluation Panels is English.

**Supporting Documentation**

Scanned copies of the following supporting documentation need to be submitted with the proposal by uploading electronically on EPSS in PDF format.

In stage 1:
- The host institution must confirm its association and support to the project and PI (see template in Annex 3, which is also available on EPSS).
- The Ethical Issues Table needs to be provided as well (see template in Annex 7, which is also available on EPSS).

In stage 2:
- The host institution must provide a binding statement that the conditions of independence set out in the supplementary agreement to the ERC Grant agreement and outlined in section 2.2.1 are already fulfilled or will be provided to the PI if the application is successful (see template in Annex 4, which is also available on EPSS).
- The PI should submit scanned copies of documents proving his/her eligibility for the grant, i.e. for the ERC Starting Grant the PhD certificate (or equivalent degree) clearly indicating the date of award/defence. In case any extension of the eligibility period beyond 9 years has been requested, please include the relevant documentary evidence (see Box 2).
- If the proposed research involves ethical issues or potential ethical issues have been identified by the ERC Panels, a description with explanatory information on how these issues (see Annex 7) will be managed needs to be provided in a separate document.

These documents should be scanned and submitted via EPSS as PDF files. Three separate files may be submitted. The first containing the supporting statement from the host institution, the second containing scanned copy(ies) of document(s) proving his/her eligibility for the grant (for stage 2 only) and the third containing the Ethical Issues Table (for stage 1) or the explanatory information on ethical issues (for stage 2 only). Please ensure that the file names contain the "Proposal Short Name", such as PartB_[Proposal-Short-Name], Host-Letter_[Proposal-Short-Name], PhD_[Proposal-Short-Name], Ethics_[Proposal-Short-Name].

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**Box 6: Proposal submission - Important to know**

- Proposals cannot be submitted without pre-registration (it is required to obtain an EPSS login name and password)
- Proposals sent by other means than EPSS will normally not be accepted.16
- Only the material that the proposal contains within the page limits while respecting the indicated layout parameters will be evaluated.
3.2.3 Electronic Proposal Submission

Proposals should be submitted electronically via the web-based Electronic Proposal Submission Service (EPSS).\(^{16}\)

EPSS can be accessed via the ERC website and the call page on CORDIS, or directly at [https://www.epss-fp7.org/epss/welcome.jsp](https://www.epss-fp7.org/epss/welcome.jsp).

Full instructions will be found in the “EPSS preparation and submission guide” at [https://www.epss-fp7.org/epss/EPSS-Userguide.pdf](https://www.epss-fp7.org/epss/EPSS-Userguide.pdf).

Before submitting a proposal using EPSS, applicants must pre-register (to obtain a login name and password) and must agree to the conditions of use of EPSS. Following this, the application can be prepared, uploaded and submitted via EPSS.

EPSS will carry out a number of basic verification checks prior to submission, including that of completeness of the proposal, internal data consistency, absence of virus infection and conformity to the file types and size limitations which are specified. This automatic validation does not replace the more detailed eligibility check carried out later by the ERC.

Only upon successful completion of these checks will the EPSS allow the applicant to initiate the submission of the proposal (by clicking on the submission button).

**If the 'SUBMIT' button is not pressed, the ERC considers that no proposal has been submitted.**

The proposals and attached documentation must exclusively use PDF (“Portable Document Format”, compatible with Adobe version 3 or higher, with embedded fonts).\(^{17}\) Other file formats will not be accepted by the system. Unless specified in the call, any hyperlinks to other documents, embedded material and any other documents (company brochures, supporting documentation, reports, audio, video; multimedia, etc.) sent electronically or by post, will be disregarded.

Proposals must be submitted before the deadline specified in the Call for Proposals.

The EPSS will be closed at the call deadline. After this moment, access to the EPSS will be impossible.

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\(^{16}\) In exceptional cases, if an applicant has absolutely no means of accessing the EPSS and if it is impossible to arrange to do so, it may request permission from the ERC to submit on paper. Such a request, which must clearly explain the circumstances of the case, must be received by the ERC no later than one month before the call deadline, send to the following address: European Research Council (ERC), Madou Plazanèbre 1, Office: MADO 5/64, 1049 Brussels. The ERC will reply to such a request within five working days of receipt. If a derogation is granted, the ERC will send proposal forms for paper submission to the applicant concerned.

\(^{17}\) Irrespective of the page limits specified above, there is an overall limit of 10 Mbyte to the size of the PDF proposal file. There are also restrictions to the file name you give to the PDF proposal - use alphanumerics only. Special characters and spaces must be avoided.
Applicants are strongly advised to prepare their submission and upload the proposal in good time before the deadline.

Proposals are kept under secure conditions at all times. When no longer needed, all copies are destroyed except those required for archiving and/or auditing purposes.

3.2.4 Reception

If the submission is technically successful, PIs receive an automatic computer-generated acknowledgement from EPSS. Acknowledgement of receipt is subsequently provided by e-mail after the call deadline.

Subsequent to submission, the ERC may contact the PI if this is necessary to clarify questions of eligibility or to verify administrative or legal data contained in the proposal.

3.2.5 Modifying or withdrawing a proposal

Up to the call deadline, it is possible to modify a proposal simply by submitting a new version. So long as the call has not yet closed, the new submission will overwrite the old one.

Once the deadline has passed, however, the ERC can accept no further additions, corrections or re-submissions. The last eligible version of your proposal received before the deadline is the one which will be evaluated, and no later material can be submitted.

Proposals may be withdrawn up to the call deadline by submitting a revised version of the administrative form, with the following words entered into the abstract field:

"The applicant wishes to withdraw this proposal. It should not be evaluated by the ERC".

After the call deadline, a proposal may be withdrawn only by sending a signed letter to the European Research Council (ERC): Madou Plaza n°1, Office: MADO 5/64, BE-1049 Brussels, Belgium. For deliveries by hand or by representatives (including by private courier), the delivery should be to the following address, and labelled as follows: European Commission, Rue du Bourget 1, BE-1140 Brussels, Belgium.

3.2.6 Reapplications and multiple applications

For reapplications or the submission of more than one application the following rules apply:

- No PI or team member may be associated with more than one application to the ERC during the same calendar year.
A PI may not submit an application for an ERC grant during the calendar year following the submission of an unsuccessful application, unless that application was judged to meet the quality threshold for funding.\(^{18}\)

Only one ERC grant by a PI can be active at any time.\(^{19}\)

For ERC Starting Grants only: Applications by PIs who have successfully applied for similar type of funding (e.g. EURYI awards) will not be accepted unless the objectives of the proposed ERC project are clearly distinct.

\(^{18}\) Note: This rule will not apply to the second call for ERC Starting Grants.

\(^{19}\) However, to secure continuity of funding, applicants that have been awarded an ERC Starting Grant may apply for an Advanced Investigator Grant during the last calendar year of their grant.
4. Evaluation and selection of grant proposals

The grant application procedure consists of two stages. In summary, these are as follows (see Box 7):

**Box 7: Evaluation and selection of grant proposals**

* Interviews with applicants will only be conducted for ERC Starting Grants.

**Stage 1**

i.) **Eligibility Check:** Proposals are checked to ensure that all of the eligibility criteria are met.

ii.) **Peer Review Evaluation:** Proposals which fulfil these criteria are evaluated by high level peer review evaluation panels (“Panels”), which assess, score and comment on the quality of the proposal.

iii.) **Feedback:** Applicants are informed of the outcome of the evaluation of their proposal. Applicants whose proposals meet the required level of quality are invited to proceed to stage 2.

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Stage 2

i.) **Eligibility Check:** Proposals are checked to ensure that all of the eligibility criteria are met.

ii.) **Peer Review Evaluation:** Proposals which fulfil these criteria are evaluated by remote referees and Panels, which assess, score and comment on the quality of the proposal. Additionally, interviews with applicants may be conducted by these Panels. Applications which meet the quality thresholds are ranked in a list.

iii.) **Feedback:** Applicants are informed of the outcome of the evaluation of their proposal.

iv.) **Selection:** An ERC grant is offered to proposals which are sufficiently high in the ranked list such that ERC funding is available.

v.) **Grant Preparation:** If an applicant accepts the offer, a grant agreement is prepared. This defines the terms and conditions applicable to the PI, the host institution and the ERC (see chapter 5).

### 4.1 How are proposals evaluated?

#### 4.1.1 Eligibility Check

In order to be retained, a proposal must fulfil all of the following eligibility criteria:

- It must be submitted before the **deadline**.
- It must be **complete** (i.e. all of the requested components and forms must be present).
- Its content must relate to the **ERC grant scheme** which is subject of the call for proposals.
- **Eligibility requirements** of the respective ERC grant scheme as well as other criteria mentioned in the relevant call for proposals must be met.

An eligibility check is carried out at both stages of the two-stage application procedure.

Where there is a doubt on the eligibility of a proposal, the evaluation may proceed pending a decision by an eligibility review committee (see section 4.3).

#### 4.1.2 Peer review evaluation and ranking

Proposals are evaluated by Panels mainly on the basis of:

- The potential of the Principal Investigator
The quality of the proposed research project

In addition, the Panels consider (as a pass/fail criterion):

- The research environment

Further details on the evaluation criteria for the ERC Starting Grant are provided in Annex 5. These criteria apply to both stage 1 and stage 2 of the application procedure. Criteria for the ERC Advanced Investigator Grant will be defined in 2007.

The composition of the Panels is outlined in Box 8. Proposals are assigned to Panels according to the keywords indicated in the application form. The Panels then assess whether each proposal meets the quality threshold, based on the evaluation criteria of the relevant ERC grant scheme.

For the ERC Starting Grant scheme, 20 Panels have been established covering all fields of science, engineering and scholarship. Details on the structure and composition of the ERC panels are provided in Annex 6. The panel structure for the ERC Advanced Investigator Grant will be defined in 2007.

Panels may be assisted by additional experts. As renowned specialists in particular research domains, these additional experts act as referees to provide individual assessments on a proposal-by-proposal basis.

**Box 8: Composition of ERC Panels**

- Each panel consists of one Panel Chair and 10-12 panel members.
- The Panel Chair and members are selected by the ERC Scientific Council.
- The Panel Chair manages and ensures the quality of the evaluation process for the proposals assigned to his/her panel.
- The panels work on the basis of common "Rules of Procedures", which are defined by the ERC Scientific Council (see Guide for ERC Peer Reviewers²).

The ERC evaluation procedure includes a check of ethical issues raised by the proposals. After the evaluation and before any funding decision by the ERC an ethical review of proposals involving sensitive ethical issues may take place. The objective of this ethical review is to make sure that the ERC does not support research which would be contrary to fundamental ethical principles (see Box 3 and Annex 7).

In summary, the evaluation procedure is as follows:
**Stage 1:** Outline proposals are distributed to Panel members\textsuperscript{21} who read them "remotely" (i.e. at their place of work). For each proposal, three or four Panel members are given particular responsibility for a preliminary assessment. Following this, proposals are discussed and scored by the whole Panel during a meeting.

In order to avoid over-subscription at stage 2, the number of proposals that successfully pass stage 1 of the evaluation is limited. It is estimated that the number of proposals invited to proceed to stage 2 will be approximately double the number of grants available. This implies a success rate of around 50% at stage 2.

**Stage 2:** Full proposals are assessed and scored remotely by at least two Panel members as well as by at least two additional specialist referees. PIs will be invited for an interview by the relevant ERC panel. Following this, the Panels meet to decide on the final scoring and ranking.

For proposals which meet the required quality threshold, the Panel may make recommendations regarding the budget proposed by the PI and/or the methodology and time schedule of the work. These recommendations will be taken into account if a grant is subsequently offered to the PI.

A ranked list is drawn up for the proposals which meet the quality threshold and grants are offered for applications sufficiently high in the list for which budget is available.

**Please note that if the research project described in a stage 2 full proposal deviates substantially from the corresponding stage 1 outline proposal, it may be excluded from further evaluation.**

**4.2 Feedback to applicants**

Applicants are provided with feedback on the outcome of the evaluation after each stage of the application procedure in the form of an Evaluation Report.

This indicates whether the proposal meets the quality threshold and is retained, and provides the score and corresponding comments given by the Panel as well as (where applicable) comments from the referees.

For those proposals rejected after failing an evaluation threshold, comments are only included for those criteria examined up to the point where the threshold was failed.

Proposals which meet the quality threshold in stage 1 are invited to proceed to stage 2. Proposals which meet the threshold in stage 2, and which are sufficiently high in the list for funding to be available, are invited to conclude an ERC grant agreement.

\textsuperscript{21} In cases where the number of proposals is exceptionally high, proposals can be evaluated additionally by external (non-Panel) reviewers designated by the ERC.
4.3 Redress

The ERC DIS provides the name of an official to whom PI and/or applicant legal entities may address any questions or request for redress concerning the results of a particular peer review evaluation. Such questions or requests for redress should be raised within one month of receipt of the results of the peer review evaluation. As a minimum they should contain the name of the call, the proposal number (if any), the title of the proposal, and a description of the problems encountered.

For issues regarding eligibility, an eligibility review committee may be convened (see section 4.1.1).

For issues regarding the peer review evaluation, a committee may be convened under the authority of the ERC Scientific Council to examine the peer review evaluation process for the case in question. If the committee is required to consider eligibilities issues, it may seek advice of the eligibility review committee. The committee will bring together staff with the requisite scientific/technical and legal expertise. The committee itself, however, does not evaluate the proposal. Depending on the nature of the complaint, the committee may review the CVs of the experts, the individual comments, and ER.

In the light of its review, the committee will recommend a course of action to the ERC DIS.

Any requests for redress must be raised within one month of the date of the initial information letter sent by the ERC DIS22.

A reply will be sent to the applicant legal entity within two weeks of the date of reception of the request for redress. If a definitive reply cannot be given at that stage, the reply will indicate when such a reply will be provided.

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22 European Research Council (ERC): Madou Plaza n°1, Office: MADO 5/64, BE-1049 Brussels, Belgium. For deliveries by hand or by representatives (including by private courier), the delivery should be to the following address, and labelled as follows: European Commission, Rue du Bourget 1, BE-1140 Brussels, Belgium., Fax: +32-2-299.31.73 , email: rtd-erc-appeals@ec.europa.eu
5. Managing ERC grants\(^{23}\)

5.1 What is an ERC grant agreement?

A 'grant agreement' is the document which establishes the rights and obligations of the parties and specifies, amongst other things, the name of the host institution, the name of the PI, the duration and start date of the project, the maximum amount of financial contribution attributed to the project and the periodicity of submission of reports. It consists of a ERC Core Grant Agreement and its Annexes (General Conditions, Accession Form for new beneficiaries, Financial Statement Form).

The host institution and the PI shall conclude a Supplementary Agreement to ensure the minimum requirements for the project implementation, such as the host institution's commitment to grant the PI the requisite basic support and the independence to manage the research funding for the duration of the project, amongst others. The provisions of the Supplementary Agreement\(^{24}\) which are not in accordance with the ERC grant agreement shall be deemed to be void for the purposes of the ERC grant agreement.

5.2 How is a grant agreement prepared?

The ERC prepares grant agreements for projects on the basis of the proposal and the recommendations of the ERC Panel (see Section 4.1.2), verifying also the legal status and financial capacity of the applicant legal entity\(^{25}\).

Applicant legal entities that are offered a grant may accept or reject the grant and applicable rules and conditions as a "package".

If the conditions are accepted, the ERC prepares the relevant documents. In addition to the two agreements mentioned in Section 5.1 the following annexes are included in the grant agreement:

- Annex I: Description of work (the Stage 2 project proposal taking into account the ERC Panel's recommendations)
- Annex II: General conditions
- Annex III: Accession Form (if more than one host institution)

\(^{23}\) Detailed information and documentation, including the template structures and forms for financial and scientific reporting are provided in the Guide for ERC Grant Holders. In preparation – available soon at [http://erc.europa.eu](http://erc.europa.eu).

\(^{24}\) A template with minimum requirements is provided with the ERC Core Grant Agreement.

\(^{25}\) See Commission’s decision on "FP7 Rules to ensure consistent verification of the existence and legal status of participants, as well as their financial capacity", to be adopted and published in mid 2007.
The general conditions include the arrangements for the scientific, financial and ethical
conduct as well as procedures for dealing with changes in the team composition and
managing Intellectual Property Rights.

The agreements are concluded following signature by the relevant parties; the ERC
always signs the agreement after having received the duly signed Supplementary
Agreement and the signature by the PI's host institution.

5.3 How much flexibility is allowed within an ERC Grant Agreement?

5.3.1 Change of scientific strategy and/or objectives

The PI is expected to carry out the project as described in the grant agreement,
however, it is possible to revise the scientific strategy and allocate expenditure (e.g.
regarding staff, equipment, consumables) accordingly, provided the research performed
is still in line with the original scientific or scholarly objectives.

5.3.2 Portability

It is expected that the PI establishes and concludes the funded research project in
association with the original host Institution (applicant legal entity). However, the ERC
grant scheme allows PIs having received a frontier research grant to transfer their
projects from one host to another in the course of the project. The PI should then bring
forward the reasons\(^\text{26}\) for wishing to move to another institution. In such cases, and after
a careful analysis of such request which may involve a review of the project, the PI will
be entitled to request transfer of the remainder of the grant to a new host institution.\(^\text{27}\)

The original host institution is expected to transfer funds other than those that have
already been consumed or irretrievably committed to resources required for the project
(on personnel, consumables, etc). It is expected to take all reasonable steps to transfer
equipment and other purchases made for the benefit of the project, such that the aims
of the project can be secured.\(^\text{28}\)

If more than one beneficiary is involved in the project, only that part of the grant that is
assigned to the host institution of the PI is transferable (unless otherwise agreed with
the other beneficiaries).

The detailed rules for transferring grants are included in the "Guide for ERC Grant
Holders"\(^\text{2}\).

\(^\text{26}\) This may, for example be necessary if the provisions for the PI's leadership of the research have not been respected
\(^\text{27}\) This would not normally be done within the first two years of the start of the project.
\(^\text{28}\) In some countries, equipment is formally owned by the State and the consent of the host organisation alone may not be
sufficient.
5.4 How is project progress reported?

Project reporting is carried out in two streams: scientific reporting (for which PIs are responsible) and financial management reporting (for which the host institution is responsible).

5.4.1 Scientific Reporting

PIs are required to send a mid-term and final scientific report to the ERC. These reports inform the ERC on progress and achievements of the project. Specific outputs from the project should be included (e.g. publications).

The scientific reports may be subject to review by a pertinent scientific panel convened by the ERC, which may also involve site visits. The panel will make recommendations as to the future course of the project.

5.4.2 Financial management reporting

The host institution is required to send periodic financial management reports justifying the use of any expenditure. Declarations of costs exceeding a cumulative total of € 375 000 must be accompanied by a certificate on financial statements. Where the project involves more than one legal entity, the host institution must provide a consolidated cost claim.

5.5 When and how are ERC Grants paid?

Grants are paid in several instalments: an advance payment (as pre-financing) is made within a maximum of 45 days of the date of entry into force of the ERC grant agreement, which is the date of the last signature by the "applicant legal entity" and the ERC (whichever is the last).

Interim payments are made on the basis of actual expenditures accepted for each financial management reporting period (see Section 5.4.2).

The total amount of the pre-financing and the interim payments shall not exceed 90% of the maximum Community financial contribution.

A final payment corresponding to the last financial management reporting period plus any adjustment needed.
6. Publication and exploitation of results

6.1 Acknowledging ERC support

Whenever achievements resulting from ERC-funded research are published (such as in journals, patents, presentations, etc.) the PI should highlight the ERC's financial support under the Seventh Framework Programme.

This may imply a written acknowledgment and/or the application of the ERC logo and the European emblem:

"The European Research Council has provided financial support under the European Community’s Seventh Framework Programme (FP7/2007-2013) / ERC grant agreement n² [xxxxxxxxx]."


6.2 Dissemination, Exploitation and IPR

A strategy to disseminate and exploit project results should be developed, with due regard to applicable local and national regulations and the rules regarding Intellectual Property Rights described in detail in the ERC Grant Agreement.

The ERC may publish information on projects which it supports financially. This could include the name of the PI and host institution, the project's objectives, the amount of funding awarded, and the location of the project and the project reports. However, in clearly justified cases, the host institution may request that the ERC does not make this information public.
7. Further Information and Support

General information and key documents are available on the **ERC website** at [http://erc.europa.eu](http://erc.europa.eu) and CORDIS at [http://cordis.europa.eu](http://cordis.europa.eu). The website also includes a glossary and 'Frequently Asked Questions.'

As with other parts of the Seventh Framework Programme, **National Contact Points (ERC NCPs)** have been set up across Europe\(^{29}\) to provide information and personalised support to ERC applicants in their native language. The mission of the ERC NCPs is to raise awareness, inform and advise on ERC funding opportunities as well as to support potential applicants in the preparation, submission and follow-up of ERC grant applications. Contact details are available at [http://erc.europa.eu/index.cfm?fuseaction=page.ncpList](http://erc.europa.eu/index.cfm?fuseaction=page.ncpList).

Questions related to the EPSS should be directed to the **EPSS Helpdesk** by e-mail support@epss-fp7.org or by phone +32-2-233 3760.

A general **ERC Helpdesk** is also available and accessible via the Europe Direct Contact Centre at [http://ec.europa.eu/research/index.cfm?pg=enquiries](http://ec.europa.eu/research/index.cfm?pg=enquiries).

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\(^{29}\) This applies to EU Member States and Associated Countries. Some third countries also provide this service.
Annex 1: ERC grant application Submission Forms

Instructions for completing the "administrative forms" (A forms) of the ERC grant application

Please note that as part of the start-up of FP7, the Electronic Proposal Submission Service (EPSS) is expected to become available at least four weeks before the call deadline. Further information will be given on the CORDIS website.

Proposals must be submitted electronically via the web-based Electronic Proposal Submission Service (EPSS). The procedure is given in section 3.2.3 of this guide.

In the A forms the applicant will be asked for administrative data that will be used in the evaluation and further processing of the proposal. The A forms are an integral part of the proposal. Details of the work the PI intend to carry out will be described in the research proposal (annex 2 of this guide).

Section A1 gives a snapshot of the proposal and of the PI, section A2 concerns the PI host institution, while section A3 deals with money matters.

Please note:

- Please use English only to fill in the forms.
- Section A1 and section A3 concern information about the research proposal, about the PI and on estimation of the resources.
- Section A2 concerns information about the PI's Host Institution
- Subcontractors are not required to fill in section A2 and should not be listed separately in section A3.
- Please ensure that the amount given in the financial section A3 corresponds precisely to the information provided in the research proposal text (resources section). In case of discrepancy, the A3 data will prevail.

When you complete part A, please make sure that:

- All costs are given in whole Euros (integer), not thousands of Euros, and must exclude value added tax (VAT).

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30 The filling of additional A2 forms, corresponding to the organisations of some team members, may be necessary
**Note:**
The following notes are for information only. They should assist you in completing the A forms of your proposal. On-line guidance will also be available. The precise questions and options presented on EPSS may differ slightly from these below.

**ERC GRANTS**

**Section A1: Proposal and PI information** (To be completed for Stage 1 and stage 2 proposals)

<table>
<thead>
<tr>
<th>Proposal Number</th>
<th>[pre-filled by the system]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal Acronym</td>
<td>The short title or acronym will be used to identify your proposal efficiently in this call. It should be of no more than 20 characters (use standard alphabet and numbers only; no spaces, symbols or special characters please). The same acronym should appear on each page of the research proposal.</td>
</tr>
</tbody>
</table>

**General Information on the Proposal**

<table>
<thead>
<tr>
<th>Type of project</th>
<th>[pre-filled] Support for Frontier Research – ERC Starting Grant</th>
</tr>
</thead>
<tbody>
<tr>
<td>Call identifier</td>
<td>[pre-filled] The call identifier is the reference number given in the call or part of the call you are addressing, as indicated in the publication of the call in the CORDIS call page. A call identifier looks like this: ERC-2007-StG</td>
</tr>
<tr>
<td>Activity code</td>
<td>Should be: ERC Starting Grant</td>
</tr>
<tr>
<td>Proposal Title</td>
<td>The title should be no longer than 200 characters and should be understandable to the non-specialist in your field.</td>
</tr>
<tr>
<td>Duration in months</td>
<td>The estimated duration of the project in full months.</td>
</tr>
<tr>
<td>ERC Review Panel</td>
<td>[drop-down menu] Please choose an option indicating the ERC panel(s) by which you would prefer your proposal to be evaluated. This information is mandatory for the 1st preference and optional for the 2nd and 3rd preferences.</td>
</tr>
<tr>
<td>ERC Keywords</td>
<td>[drop-down menu] Please select keywords that best characterise the subject of your proposal. You don't need to limit your choice of keywords to your choice of specific panel or panels. The choice of keyword 1 is mandatory; keywords 2, 3 and 4 are optional.</td>
</tr>
<tr>
<td>Free Keywords</td>
<td>In addition please enter free text keywords that you consider necessary to characterise the scope of your research proposal. The choice of keywords should take into account any multiple-disciplinary aspects of the proposal. There is a limit of 100 characters.</td>
</tr>
<tr>
<td>Abstract</td>
<td>The abstract (summary) should, at a glance, provide the reader with a clear understanding of the</td>
</tr>
</tbody>
</table>
objectives of the research proposal and how they will be achieved. The abstract will be used as the short description of your research proposal in the evaluation process and in communications to the programme management committees and other interested parties. It must therefore be short and precise and should not contain confidential information. Please use plain typed text, avoiding formulae and other special characters.

There is a limit of 2000 characters.

<table>
<thead>
<tr>
<th>Information on the Principal Investigator</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Family Name</strong></td>
</tr>
<tr>
<td>Last name as given in your PhD (or equivalent doctoral degree) documentation.</td>
</tr>
<tr>
<td><strong>Birth Family Name</strong></td>
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<tr>
<td>Your last name at birth.</td>
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<tr>
<td><strong>First Name(s)</strong></td>
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<tr>
<td>Your first name.</td>
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<tr>
<td><strong>Title</strong></td>
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<tr>
<td>Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.</td>
</tr>
<tr>
<td><strong>Gender Female(F)/Male(M)</strong></td>
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<tr>
<td>This information is required for statistical and mailing purposes. Indicate F or M as appropriate.</td>
</tr>
<tr>
<td><strong>Nationality</strong></td>
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<td>Insert your Nationality, in English.</td>
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<tr>
<td><strong>Country of residence</strong></td>
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<tr>
<td>The country in which you legally reside. Insert the name of the country, in English.</td>
</tr>
<tr>
<td><strong>Date of Birth (DD/MM/YYYY)</strong></td>
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<tr>
<td>Please specify your date of birth using the format (DD/MM/YYYY).</td>
</tr>
<tr>
<td><strong>Country of Birth</strong></td>
</tr>
<tr>
<td>The country in which you were born. Insert the name of the country, in English (please avoid any additional regional or district code or information).</td>
</tr>
<tr>
<td><strong>Town of Birth</strong></td>
</tr>
<tr>
<td>The town in which you were born. Insert the name of the town, in English (please avoid any district codes).</td>
</tr>
<tr>
<td><strong>Current Organisation name (if applicable)</strong></td>
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<tr>
<td>Name under which your organisation is registered.</td>
</tr>
<tr>
<td><strong>Current Department/Faculty/Institute/Laboratory name (if applicable)</strong></td>
</tr>
<tr>
<td>Name under which your Department/Faculty/Institute/Laboratory is registered.</td>
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<tr>
<td><strong>Street name</strong></td>
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<tr>
<td>The street name.</td>
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<td><strong>Number</strong></td>
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<tr>
<td>The building number.</td>
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<tr>
<td><strong>Town</strong></td>
</tr>
<tr>
<td>The town, in English (please avoid any district codes).</td>
</tr>
<tr>
<td><strong>Postal Code/ Cedex</strong></td>
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<tr>
<td>The Postal code.</td>
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<tr>
<td><strong>Fax</strong></td>
</tr>
<tr>
<td>Please insert the full fax number including country and city/area code. Example +32-2-2991111.</td>
</tr>
<tr>
<td><strong>Country</strong></td>
</tr>
<tr>
<td>The country, in English (please avoid any additional regional or district code or information).</td>
</tr>
<tr>
<td><strong>Phone</strong></td>
</tr>
<tr>
<td>Please insert the full phone number including country and city/area code. Example +32-2-2991111.</td>
</tr>
</tbody>
</table>
The 2nd phone number is optional.

**E-mail**
Please insert your e-mail address. The 2nd e-mail address is optional.

**Date of first PhD or Doctorate award (DD/MM/YYYY)**
Please specify the date of award of your doctoral degree using the format (DD/MM/YYYY). This should correspond to the date on the actual original PhD certificate. Wrong or missing information may cause your proposal to be ineligible.

**If this date is more than 9 years prior to the call deadline: do you qualify for an extension of the eligibility period (of maximum 3 years)?**
Researchers must have obtained a PhD or equivalent doctoral degree at the earliest 9 years prior to the date of the deadline for submission of proposals. Extensions of this period are possible in certain cases. Please consult the work program, the eligibility conditions section. Wrong or missing information may cause your proposal to be ineligible.

**During the last calendar year, have you submitted any other proposal for an ERC grant?**
No PI or team member may be associated with more than one application to the ERC during the same calendar year. A PI may not submit an application for an ERC grant during the calendar year following the submission of an unsuccessful application, unless that application was judged to meet the quality threshold for funding (not applicable to the first/second StG calls).

### Information on the Administrative Official of the Host Institution

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Family Name</strong></td>
<td>Last name as given in the Passport or ID card.</td>
</tr>
<tr>
<td><strong>Birth Family Name</strong></td>
<td>Last name at birth.</td>
</tr>
<tr>
<td><strong>First Name(s)</strong></td>
<td>First name.</td>
</tr>
<tr>
<td><strong>Title</strong></td>
<td>Please choose one of the following: Prof., Dr., Mr., Mrs., Ms.</td>
</tr>
<tr>
<td><strong>Gender</strong></td>
<td>This information is required for statistical and mailing purposes. Indicate F or M as appropriate.</td>
</tr>
<tr>
<td><strong>Position in the host institution</strong></td>
<td>e.g. senior administrative officer</td>
</tr>
<tr>
<td><strong>Department/Faculty/Institute/Laboratory name</strong></td>
<td>The name under which the host Department/Faculty/Institute/Laboratory is registered.</td>
</tr>
<tr>
<td><strong>Street name</strong></td>
<td>The street name.</td>
</tr>
<tr>
<td><strong>Number</strong></td>
<td>The building number.</td>
</tr>
<tr>
<td><strong>Town</strong></td>
<td>The town, in English.</td>
</tr>
<tr>
<td><strong>Postal Code/ Cedex</strong></td>
<td>The Postal code.</td>
</tr>
<tr>
<td><strong>Fax</strong></td>
<td>Please insert the full fax number including country and city/area code. Example +32-2-2991111.</td>
</tr>
</tbody>
</table>
### Country
The country, in English.

### Phone
Please insert the full phone number including country and city/area code. Example +32-2-2991111. The 2nd phone number is optional.

### E-mail
Please insert the e-mail address. The 2nd e-mail address is optional.

### Section A2: Host institution information (To be completed for Stage 1 and stage 2 proposals)

<table>
<thead>
<tr>
<th>Organisation Number</th>
<th>The number allocated by the consortium (if it is the case) to each organisation. The PI of the proposal is always number one.</th>
</tr>
</thead>
</table>

#### The Organisation

**If your organisation has already registered for FP7, enter your Participant Identity Code**
Not applicable to the first call.

#### Organisation legal name
For Public Law Body, it is the name under which the host institution is registered in the Resolution text, Law, Decree/Decision establishing the Public Entity, or in any other document established at the constitution of the Public Law Body; For Private Law Body, it is the name under which the host institution is registered in the national Official Journal (or equivalent) or in the national company register.

#### Organisation short name
Choose an abbreviation of the host institution Legal Name, only for use in this proposal and in all relating documents. This short name should not be more than 20 characters exclusive of special characters (./;…), for e.g. CNRS and not C.N.R.S. It should be preferably the one as commonly used, for e.g. IBM and not Int.Bus.Mac.

#### Organisation Town
Town where the Organisation is located, in English (please avoid any district codes).

#### Organisation Country
The country where the Organisation is located, in English (please avoid any additional regional or district code or information).

#### Department/Faculty/Institute/Lab Name
The name under which the Department/Faculty/Institute/Laboratory is registered.

#### Department/Faculty/Institute/Lab Town
The town where the Department/Faculty/Institute/Laboratory is located, in English (please avoid any district codes).

#### Department/Faculty/Institute/Lab Country
The country where the Department/Faculty/Institute/Laboratory is located, in English (please avoid any additional regional or district code or information).

#### Internet Homepage
Insert the address of the Organisation internet homepage.
Section A3: Budget (To be completed for Stage 1 and stage 2 proposals)

**Financial information – whole duration of the project**

This financial data summarises the total costs and the requested ERC grant, as they are also presented in the Research proposal text.

The Host Institution\(^{31}\) should enter the different type of costs (Personnel, other direct, indirect and subcontracting). Please ensure the table contains the correct amount of the different type of costs and the correct total eligible costs and requested grant.

If you are participating as legal entity from International Cooperation Partner Countries (ICPC), you can opt for lump sum funding instead of reimbursement of eligible costs. In this case you should complete only the box on "requested grant".\(^{32}\)

**Eligible and non-eligible direct and indirect costs**

An ERC grant can cover up to 100% of the total eligible direct costs of the research plus a contribution towards indirect costs, which cannot exceed 20% of the total eligible direct costs (excluding the direct eligible costs for subcontracting and the costs of reimbursement of resources made available by third parties which are not used on the premises of the beneficiary). Costs claimed should be in line with the host institution's own accounting rules.

**Direct eligible costs** are those which support all the research, management, training and dissemination activities necessary for the conduct of the project, such as: Personnel Costs; Equipment Costs; Consumables; Travel and Subsistence Costs; Publication Costs (page charges and related fees for publication of results).

**Indirect eligible costs** are those which cannot be identified as directly attributable to the project, but which are incurred in direct relationship with the project's direct eligible costs, such as: Costs related to general administration and management; Costs of office or laboratory space, including rent or depreciation of buildings and equipment, and related expenditure such as water, heating, electricity; Maintenance, insurance and safety costs; Communication expenses, network connection charges, postal charges and office; Supplies; Common office equipment such as PC's, laptops, office software; Miscellaneous recurring consumables.

**Non-eligible costs** cannot be reimbursed through the ERC grant, such as: Any identifiable indirect taxes, including VAT or duties; Interest owed; Provisions for possible future losses or charges; Exchange losses; Costs declared, incurred or reimbursed in respect of another Community project; Costs related to return on capital; Debt and debt service charges; Excessive or reckless expenditure.

<table>
<thead>
<tr>
<th>Participant Number in this proposal</th>
<th>The PI' Host Institution of the proposal is always number one.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organisation short name</td>
<td>The same name that as been used in form A2.</td>
</tr>
<tr>
<td>Personnel costs</td>
<td>Personnel costs are only the costs of the actual hours worked by the persons directly carrying out work under the project. Such persons must: – be directly hired by the beneficiary in accordance with its national legislation, – work under the sole technical supervision and responsibility of the latter, and – be remunerated in accordance with the normal practices of the participant. Participants may opt to declare average personnel costs if certified in accordance with a methodology approved by the Commission and consistent with the management principles and usual accounting practices of the participant. Average personnel costs charged by a participant having provided a certification on the methodology are deemed not to significantly differ from actual personnel costs.</td>
</tr>
</tbody>
</table>

\(^{31}\) Additional lines should correspond to any legal entities that have filled form A2

\(^{32}\) The lump sum calculation method will be subject to a specific Commission decision, published in early 2007.
<table>
<thead>
<tr>
<th>Other direct costs (- subcontracting)</th>
<th>Means direct costs not covered by the above mentioned categories of costs.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Indirect costs</td>
<td>Indirect costs are all those eligible costs which cannot be identified by the participant as being directly attributed to the project but which can be identified and justified by its accounting system as being incurred in direct relationship with the eligible direct costs attributed to the project. They may not include any eligible direct costs.</td>
</tr>
<tr>
<td>Subcontracting</td>
<td>A subcontractor is a third party which has entered into an agreement on business conditions with one or more participants, in order to carry out part of the work of the project without the direct supervision of the participant and without a relationship of subordination. Where it is necessary for the participants to subcontract certain elements of the work to be carried out, the following conditions must be fulfilled:</td>
</tr>
<tr>
<td></td>
<td>- subcontracts may only cover the execution of a limited part of the project;</td>
</tr>
<tr>
<td></td>
<td>- recourse to the award of subcontracts must be duly justified in Part B of the proposal having regard to the nature of the project and what is necessary for its implementation;</td>
</tr>
<tr>
<td></td>
<td>- recourse to the award of subcontract by a participant may not affect the rights and obligations of the participants regarding background and foreground;</td>
</tr>
<tr>
<td></td>
<td>- Part B of the proposal must indicate the task to be subcontracted and an estimation of the costs;</td>
</tr>
<tr>
<td></td>
<td>Any subcontract, the costs of which are to be claimed as an eligible cost, must be awarded according to the principles of best value for money (best price-quality ratio), transparency and equal treatment. Framework contracts between a participant and a subcontractor, entered into prior to the beginning of the project that are according to the participant's usual management principles may also be accepted.</td>
</tr>
<tr>
<td></td>
<td>Participants may use external support services for assistance with minor tasks that do not represent per se project tasks as identified in Part B of the proposal.</td>
</tr>
<tr>
<td>Eligible Costs</td>
<td>The sum of direct costs (personnel and others), indirect costs and subcontracting.</td>
</tr>
<tr>
<td>Requested Grant</td>
<td>The total budget that you are requesting as the ERC grant.</td>
</tr>
</tbody>
</table>
Annex 2: ERC Starting Grant: Proposal Template

Format of the proposal:

The proposal consists of a cover page and three components. The information to be included in each of these sections and the maximum length is described below.

Only the material that the proposal contains within the below-mentioned page limits while respecting the layout parameters will be evaluated. It should provide sufficient evidence to the peer reviewers to assess the evaluation criteria as described in Annex 5. The following parameters must be respected for the layout:

<table>
<thead>
<tr>
<th>Page Format</th>
<th>Font Type</th>
<th>Font Size</th>
<th>Line Spacing</th>
<th>Margins</th>
</tr>
</thead>
<tbody>
<tr>
<td>A4</td>
<td>Times New Roman</td>
<td>12</td>
<td>1.0</td>
<td>At least 2.0 cm</td>
</tr>
</tbody>
</table>

Cover page:

- Name of the Principal Investigator (PI)
- Name of the PI’s host institution for the project
- Project full title
- Project short name
- Project duration in months
- Project summary (half page, possibly copy/paste of abstract from administrative part A)

a) The Principal Investigator (PI) (Stage 1: max. 3 pages, Stage 2: max. 4 pages)

   i. CV
   Outline your education (including training), key qualifications and professional experience. State the exact date of award of your PhD. State clearly any extensions of the eligibility period (see Box 2) that you are claiming for eligible career breaks. Supporting documents must accompany the proposal at stage 2.

   Describe your principal scientific activities and responsibilities (past and present), your participation in research projects, your experience in scientific collaboration and any international experience.

   List your 5 main publications relevant to this proposal and any other relevant achievements (such as patents, books, awards, invited key lectures given, etc.). In stage 2, you may specify additional publications.

   State any other skills and experience you consider relevant to the proposal.

   ii. Self Evaluation
   Describe how your skills and achievements demonstrate your potential as an independent research leader.

   iii. Funding ID
   State clearly and accurately any current research grants, scholarships, bursaries etc. from which you benefit, for work related to the ERC grant application, as well as any ongoing or

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If your proposal is not in English, a translation of the full proposal would be of assistance to the experts. An English translation of the abstract must be included in your proposal.
foreseen future applications. Describe how you envisage an ERC grant will complement any existing funding.

For each source of funding, you should specify:

- Full title of the research grant, scholarship, bursary etc.
- Name of the funding scheme and organisation responsible
- Your participation in it (e.g. Principal Investigator, co-investigator, etc.)
- Size and duration of the funding

You may use a tabular format.

b) The Research Project (Stage 1: max. 4 pages, Stage 2: max. 10 pages)

i. State-of-the-art and objectives
Specify clearly the objectives of the project, in the context of the state-of-the-art in the field. Outlining the project it should be indicated how and why the project is important for the field, and what impact it will have if successful, such as how it may open up new horizons or opportunities for science, technology or scholarship. Specify any particularly challenging or unconventional aspects of the project, including multi- or inter-disciplinary aspects.

ii. Methodology
Stage 1
Describe the key elements of the proposed research methodology, indicating how and why it is appropriate.

Stage 2
Describe the proposed methodology in detail, including as appropriate key intermediate goals. Explain and justify the methodology in relation to the state-of-the-art, including any particularly novel or unconventional aspects. Highlight any intermediate stages where results may require adjustments to the project planning.

iii. Resources
Describe the size and nature of the team, illustrating the role of any key team member. Describe other necessary resources, such as infrastructure and equipment. Specify any existing resources that will contribute to the project.

c) Research Environment (Stage 1: max. 1 page, Stage 2: max. 2 pages)

i. Transition to independence
Describe how the project will enable you to make or consolidate the transition to becoming an independent research leader.

ii. Host institution
At stage 1 describe the host institution. At stage 2 also specify what facilities and assistance it will provide to the project, illustrating its capacity to support the project, including in terms of broader intellectual support.

iii. Budget
State the overall budget requested. This should include the direct costs of the project and also a contribution of 20% of the direct costs (excluding subcontracting) towards overheads. At stage 2
include a breakdown of the budget including personnel costs, equipment and infrastructure, consumables, travel, publication costs, and any envisaged subcontracts. State how the costs will be distributed over the duration of the project. These figures should be summarised in the financial information form A3 (Annex 1).

iv. Additional participants
If more than one institution will be included as a participant in the project, you should justify clearly the scientific added value of this additional participant to the project.
Annex 3: ERC Starting Grant (Stage 1): Expression of Support of the Host Institution

When submitting a stage 1 proposal for an ERC Starting Grant, the host institution must confirm its association and support to the Principal Investigator and her/his proposal.

In this respect, the host institution should provide a signed statement, which shall be attached as supporting documentation to the Principal Investigator's proposal. The statement (on letterhead paper) should read as follows:

The [name of the legal entity that is associated to the proposal and may host the Principal Investigator and the project in case the application is successful], which is the "applicant legal entity" 35, confirms its association and support to the submission of the proposal entitled "[Acronym]: [Title of the proposal]" by [name of the Principal Investigator], who has the full scientific responsibility of the project.

For the institution (applicant legal entity)

Name, Function, Email +Signature of legal representative
Stamp of institution (applicant legal entity)

---

34 A scanned copy of the signed statement should be uploaded electronically as supporting document on EPSS in PDF format.

35 Exceptionally, the Principal Investigator may himself/herself act as the "applicant legal entity", if he/she is acting in the capacity of the legal entity in his/her own right.
Annex 4: ERC Starting Grant (Stage 2): Commitment of the Host Institution

When submitting a stage 2 proposal for an ERC Starting Grant, the host institution must reconfirm its commitment to supporting the Principal Investigator and facilitating his/her transition to independence.

In this respect, the host institution should submit a signed statement (on letterhead paper), as an attachment to the PI's proposal.

This statement needs to be signed by the institution’s legal representative and stating his/her name, function and email address.

The peer review evaluation panels are empowered to determine whether the grant and the signed statement by the host institution will allow the Principal Investigator to make or consolidate the transition to independence.

The statement (on letterhead paper) should read as follows:

The [name of the legal entity that is associated to the proposal and may host the principal investigator and the project in case the application is successful], which is the "applicant legal entity", confirms its intention to sign a supplementary agreement with [name of the principal investigator] in which the obligations listed below will be addressed, should the proposal entitled "[acronym]: [title of the proposal]" be retained.

Performance obligations of the applicant legal entity that will become the beneficiary of the grant agreement, should the proposal be retained and the preparations of the grant agreement be successfully concluded:

The applicant legal entity commits itself to:

a) ensure that the work will be performed under the scientific guidance of the principal investigator.

b) carry out the work to be performed, as it will be identified in Annex I ERC GA, taking into consideration the specific role of the principal investigator.

36 A scanned copy of the signed statement should be uploaded electronically on EPSS in PDF format
37 The statement of commitment of the host institution at stage 2 of the ERC Starting Grant submission, evaluation and selection process includes most obligations of the host institution, which are stated in the ERC grant agreement (see article II.2 of the grant agreement). The ERC grant agreement is available at http://erc.europa.eu/index.cfm?fuseaction=page.display&topicID=23 and http://cordis.europa.eu/fp7/find-doc_en.html
c) The supplementary agreement shall specify that the applicant legal entity shall:

i) support the principal investigator in the management of the team and provide reasonable administrative assistance to the principal investigator, in particular as regards:

   a. the timeliness and clarity of financial information,
   b. the general management and reporting of finances,
   c. the advice on internal applicant legal entity strategies and ERC or Commission policies,
   d. the organisation of project meetings as well as the general logistics of the project.

ii) provide research support to the principal investigator and his/her team members throughout the duration of the project in accordance with Annex I ERC GA, in particular as regards infrastructure, equipment, products and other services as necessary for the conduct of the research;

iii) ensure that the principal investigator and his/her team members enjoy, on a royalty-free basis, access rights to the background and the foreground needed for their activities under the project as specified in Annex I ERC GA;

iv) guarantee adequate contractual conditions to the principal investigator, in particular as regards:

   a. the provisions for annual, sickness and parental leaves,
   b. the occupational health and safety standards,
   c. the general social security scheme, such as pension rights.

v) ensure the necessary scientific autonomy to the principal investigator, in particular as regards:
a. the selection of other team members, hosted and engaged by the applicant legal entity or other legal entities, in line with profiles needed to conduct the research, including the appropriate advertisement;

b. control over the budget in terms of its use to achieve the scientific objectives;

c. the authority to deliver scientific reports to the Commission;

d. the authority to publish as senior author and invite as co-authors only those who have contributed substantially to the reported work.

vi) inform the principal investigator on any circumstances affecting the implementation of the project or leading potentially to a suspension or termination of the ERC GA;

vii) subject to the observance of applicable national law and to the agreement of the Commission, transfer the grant agreement as well as any pre-financing of the grant not covered by an accepted cost claim to a new legal entity, should the principal investigator request to transfer the entire project or part of it to this new legal entity. The applicant legal entity shall submit a substantiated request for amendment or notify the Commission in case of its objection to the transfer.

For the institution (applicant legal entity)

Name, Function, Email +Signature of legal representative
Stamp of institution (applicant legal entity)
Annex 5: ERC Starting Grants: Evaluation Criteria

Excellence is the sole criterion of evaluation. It will be applied to the evaluation of both the Principal Investigator and the proposed research project. The evaluation will also assess the extent to which the research environment enables the excellence of the project to be achieved.

The detailed criteria applying to these 3 elements of the proposal are as follows:

1. **Principal Investigator: Potential to perform world-class research**

   *Quality of research output:* Has the Principal Investigator published in high quality peer reviewed journals or the equivalent? To what extent are these publications ground-breaking and demonstrative of independent creative thinking and capacity to go significantly beyond the state of the art?

   *Intellectual capacity and creativity:* To what extent does the Principal Investigator's record of research, collaborations, project conception, supervision of students and publications demonstrate that he/she is able to confront major research challenges in the field, and to initiate new productive lines of thinking?

2. **Quality of the proposed research project**

   *Ground-breaking nature of the research:* Does the proposed research address important challenges in the field(s) addressed? Does it have suitably ambitious objectives, which go substantially beyond the current state of the art (e.g. including trans-disciplinary developments and novel or unconventional approaches)?

   *Potential impact:* Does the research open new and important scientific, technological or scholarly horizons?

   *Methodology:*  
   a) is the outlined scientific approach (including the activities to be undertaken by the individual team members) feasible? (Stage 1)  
   b) is the proposed research methodology (including when pertinent the use of instrumentation, other type of infrastructures etc.) comprehensive and appropriate for to the project? Will it enable the goals of the project convincingly to be achieved within the timescales and resources proposed and the level of risk associated with a challenging research project? (Stage 2)

3. **Research Environment**

   *Transition to independence:* Will the proposed project enable the Principal Investigator to make or consolidate the transition to independence?

   *Host institution (normally applicant legal entity):* Does the institution host the project have most of the infrastructure necessary for the research to be carried out? Is it in a position to provide an appropriate intellectual environment and infrastructural support and to assist in achieving the ambitions for the project and the Principal Investigator?

   *Participation of other legal entities:* If it is proposed that other legal entities participate in the project, in addition to the applicant legal entity, is their participation fully justified by the scientific added value they bring to the project?
Application of Criteria

- Panels and referees will evaluate, comment and score numerically the proposals under the criteria of Heading 1: *Potential of the Principal Investigator* and Heading 2: *Quality of the proposed research project.*

- Proposals will be evaluated under Heading 3 criteria (*Research Environment*) on a "pass/fail" basis and commented during stage 2 of the evaluation.

- The overall scoring of the proposals will integrate the strengths and weaknesses including these scores as well as an overall appreciation of the proposal.

- Each evaluation criterion (heading 1 and 2) will be marked on a scale of 0 to 5. The full proposal will be evaluated on a scale of 0 to 10 and an overall quality threshold of 8/10 will be used to establish the "retained list" of proposal which will be ranked in order of priority for funding.

- Panels will establish a recommended budget for each of the proposals retained at stage 2.
Annex 6: ERC Peer Review Panel Structure

For the ERC Grants, the following Panels have been established.

### Social Sciences and Humanities

**Panel SH1 - Individuals and organisations:** economics, management, demography, geography, urban and environmental studies

<table>
<thead>
<tr>
<th>SH1_1</th>
<th>Macroeconomics, growth, development, business cycles</th>
</tr>
</thead>
<tbody>
<tr>
<td>SH1_2</td>
<td>Microeconomics, institutional economics</td>
</tr>
<tr>
<td>SH1_3</td>
<td>Environment, sustainability, social and industrial ecology</td>
</tr>
<tr>
<td>SH1_4</td>
<td>Econometrics, statistical methods</td>
</tr>
<tr>
<td>SH1_5</td>
<td>Financial markets, banking and corporate finance</td>
</tr>
<tr>
<td>SH1_6</td>
<td>Innovation, competitiveness, research and development</td>
</tr>
<tr>
<td>SH1_7</td>
<td>Consumer behaviour, marketing</td>
</tr>
<tr>
<td>SH1_8</td>
<td>Organization studies, strategy</td>
</tr>
<tr>
<td>SH1_9</td>
<td>Human resource management, employment and earnings</td>
</tr>
<tr>
<td>SH1_10</td>
<td>Public administration, public economics</td>
</tr>
<tr>
<td>SH1_11</td>
<td>Income distribution, poverty</td>
</tr>
<tr>
<td>SH1_12</td>
<td>International trade, economic geography</td>
</tr>
<tr>
<td>SH1_13</td>
<td>Human and social geography, spatial and regional planning</td>
</tr>
<tr>
<td>SH1_14</td>
<td>Population dynamics, health and population</td>
</tr>
<tr>
<td>SH1_15</td>
<td>Urbanization, urban planning, transport studies</td>
</tr>
</tbody>
</table>

**Panel SH2 - Institutions, behaviour, values and beliefs:** anthropology, sociology, political science, law, communication, social studies of science and technology

<table>
<thead>
<tr>
<th>SH2_1</th>
<th>Social structure, inequalities, mobility</th>
</tr>
</thead>
<tbody>
<tr>
<td>SH2_2</td>
<td>Communication networks, media studies, information society</td>
</tr>
<tr>
<td>SH2_3</td>
<td>Ageing, work, social policies</td>
</tr>
<tr>
<td>SH2_4</td>
<td>Globalization, migration, interethnic relations</td>
</tr>
<tr>
<td>SH2_5</td>
<td>Identity, community, nation, religion</td>
</tr>
<tr>
<td>SH2_6</td>
<td>Legal systems, human rights, constitutions</td>
</tr>
<tr>
<td>SH2_7</td>
<td>Kinship, cultural dimensions of classification and cognition</td>
</tr>
<tr>
<td>SH2_8</td>
<td>Myth, ritual, symbolic representations</td>
</tr>
<tr>
<td>SH2_9</td>
<td>Ethnography</td>
</tr>
<tr>
<td>SH2_10</td>
<td>Political systems, legitimacy, political support</td>
</tr>
<tr>
<td>SH2_11</td>
<td>Global and transnational governance, civic participation</td>
</tr>
<tr>
<td>SH2_12</td>
<td>Transformation of societies, democratization, social movements</td>
</tr>
<tr>
<td>SH2_13</td>
<td>Scientific knowledge production, politics of knowledge</td>
</tr>
<tr>
<td>SH2_14</td>
<td>Technosciences and societies, mutual engagement</td>
</tr>
<tr>
<td>SH2_15</td>
<td>History of science and technology</td>
</tr>
</tbody>
</table>

**Panel SH3 - The human mind and its complexity:** cognition, linguistics, psychology, philosophy and education

<table>
<thead>
<tr>
<th>SH3_1</th>
<th>Evolution of mind and cognitive functions</th>
</tr>
</thead>
<tbody>
<tr>
<td>SH3_2</td>
<td>Formal, cognitive and functional linguistics</td>
</tr>
<tr>
<td>SH3_3</td>
<td>Neuro-, psycho-, sociolinguistics</td>
</tr>
<tr>
<td>SH3_4</td>
<td>Linguistic typology, comparative and historical linguistics</td>
</tr>
<tr>
<td>SH3_5</td>
<td>Human life-span development</td>
</tr>
</tbody>
</table>
SH3_6    Neuro and cognitive psychology
SH3_7    Clinical and experimental psychology
SH3_8    Education
SH3_9    Philosophy
SH3_10   Epistemology, logic
SH3_11   Ethics and morality

Panel SH4 - Cultures and cultural diversity: literature, visual and performing arts, music and cultural studies

SH4_1    Classics, classical literature, classical art
SH4_2    Literature, literary theory, analysis and criticism
SH4_3    Comparative literature
SH4_4    Textual philology and textual criticism
SH4_5    Visual arts
SH4_6    Performing arts
SH4_7    Museums and exhibitions
SH4_8    Music and musicology
SH4_9    Cultural studies, cultural diversity
SH4_10   Ethnic and postcolonial studies
SH4_11   Cultural heritage

Panel SH5 - The study of the past and of cultural artefacts: memory, history and archaeology

SH5_1    Modern and contemporary history
SH5_2    Ancient history, ancient cultures
SH5_3    Medieval history
SH5_4    National, transregional and transnational history
SH5_5    Entangled histories, global history
SH5_6    Social, economic, cultural, political history
SH5_7    Historiography
SH5_8    Archaeology, prehistory, protohistory
SH5_9    Collective memories and identities, lieux de memoire
SH5_10   History of art and architecture
SH5_11   History of ideas, intellectual history

Mathematics, physical sciences, information and communication, engineering, universe and earth sciences

Panel PE1 - Mathematical foundations: all areas of mathematics, pure and applied, plus mathematical aspects of theoretical computer science, and mathematical physics

PE1_1    Foundations of mathematics and logic
PE1_2    Algorithms
PE1_3    Number theory
PE1_4    Combinatorial analysis
PE1_5    Algebra
PE1_6    Geometry
PE1_7    Topology
Panel PE1 - Analysis

- PE1_8 Analysis
- PE1_9 Computational mathematics
- PE1_10 Theoretical computer science
- PE1_11 Numerical analysis
- PE1_12 Probability and statistics
- PE1_13 Applied mathematics
- PE1_14 Operations research
- PE1_15 Mathematical physics
- PE1_16 Other areas of mathematics

Panel PE2 - Fundamental constituents of matter: high energy, particle, nuclear, plasma, atomic, molecular, gas, and optical physics

- PE2_1 High energy physics
- PE2_2 Fundamental interactions and particles
- PE2_3 Particle physics
- PE2_4 Nuclear physics
- PE2_5 Gas and plasma physics
- PE2_6 Atomic, molecular physics
- PE2_7 Optics and quantum optics
- PE2_8 Relativity
- PE2_9 Classical physics
- PE2_10 Thermodynamics
- PE2_11 Non-linear physics
- PE2_12 General physics
- PE2_13 Metrology

Panel PE3 - Condensed matter in physics and chemistry: condensed matter (structure, electronic properties, fluids, ...), statistical physics, nanosciences, reactions

- PE3_1 Biophysics
- PE3_2 Condensed matter and solid state physics
- PE3_3 Statistical physics
- PE3_4 Phase transitions
- PE3_5 Structural properties of materials
- PE3_6 Electronic properties of materials and transport
- PE3_7 Magnetism
- PE3_8 Superconductivity
- PE3_9 Semiconductors
- PE3_10 Material sciences (physics related)
- PE3_11 Nanosciences and nanotechnology (physics related)
- PE3_12 Reaction mechanisms
- PE3_13 Chemical reactions
- PE3_14 Reaction dynamics
- PE3_15 Theoretical and computational chemistry of condensed matter
- PE3_16 Chemical physics, physical chemistry of condensed matter
- PE3_17 Nanochemistry

Panel PE4 - Material and chemical sciences: material sciences, molecular architecture, chemical theory, analysis and synthesis (organic and inorganic), physical and environmental chemistry, method development

- PE4_1 Physical chemistry of molecules
- PE4_2 Environment chemistry
PE4_3 Homogeneous and heterogeneous catalysis
PE4_4 Spectroscopic and spectrometric techniques
PE4_5 Molecular architecture
PE4_6 Molecular chemistry
PE4_7 Analytical chemistry
PE4_8 Organic chemistry
PE4_9 Inorganic chemistry
PE4_10 Instrumental techniques
PE4_11 Macromolecular chemistry, polymer chemistry
PE4_12 Solid state chemistry
PE4_13 Synthesis (organic and inorganic)
PE4_14 Material science (chemistry related)
PE4_15 Surface science
PE4_16 Colloid chemistry
PE4_17 Combinatorial chemistry
PE4_18 Theoretical and computational chemistry of molecules
PE4_19 Method development
PE4_20 Supramolecular chemistry
PE4_21 Chemistry of biological systems (biological chemistry)

Panel PE5 - Information and communication: informatics and information systems, computer science, scientific computing, communication technology, intelligent systems

PE5_1 Computer architecture
PE5_2 Database management
PE5_3 Formal methods
PE5_4 Graphics
PE5_5 Human computer interaction and interface
PE5_6 Informatics and information systems
PE5_7 Theoretical computer science
PE5_8 Intelligent systems
PE5_9 Scientific Computing
PE5_10 Modelling tools
PE5_11 Multimedia
PE5_12 Networks
PE5_13 Parallel and Distributed Computing
PE5_14 Robotics
PE5_15 Signals, Speech and Image Processing
PE5_16 Systems and software

Panel PE6 - Engineering sciences: electronics, product design, process design and control, construction methods, fluid and solid mechanics, energy systems, bio-engineering

PE6_1 Aerospace engineering
PE6_2 Biomedical engineering and technology
PE6_3 Chemical engineering
PE6_4 Civil engineering
PE6_5 Control engineering
PE6_6 Electrical and electronic engineering
PE6_7 Computational engineering
PE6_8 Fluid dynamics
PE6_9 Energy systems
PE6_10 Maritime engineering
PE6_11 Microengineering
Panel PE7 - Universe science: astro-physics/chemistry/biology/geology; solar system; stellar, galactic and extragalactic astronomy, cosmology; space science, instrumentation

PE7_1    Solar and interplanetary physics
PE7_2    Planetary systems sciences
PE7_3    Interstellar medium
PE7_4    Formation of stars and planets
PE7_5    Astrobiology
PE7_6    Stars and stellar systems
PE7_7    The Galaxy
PE7_8    Formation and evolution of galaxies
PE7_9    Clusters of galaxies and large scale structures
PE7_10   High energy and particles astronomy – X-rays, cosmic rays, gamma rays, neutrinos
PE7_11   Relativistic Astrophysics
PE7_12   Dark matter, dark energy
PE7_13   Gravitational astronomy
PE7_14   Cosmology
PE7_15   Space Sciences
PE7_16   Very large data bases: archiving, handling and analysis
PE7_17   Instrumentation - telescopes, detectors and techniques

Panel PE8 - Earth system science: physical geography, geology, geophysics, meteorology, oceanography, climatology, ecology, global environmental change, biogeochemical cycles, solar planets, natural resources management

PE8_1    Atmospheric chemistry and aeronomy
PE8_2    Meteorology and atmospheric sciences
PE8_3    Climatology (incl. paleo-climatology), climate modeling
PE8_4    Ecology, environmental chemistry, water, air and soil pollution
PE8_5    Geography, geology, geochemistry
PE8_6    Global environmental change
PE8_7    Geophysics, seismology, volcanology
PE8_8    Oceanography/marine sciences (physical, chemical, biological),
PE8_9    Biogeochemistry
PE8_10   Geophysics, geochemistry, mineralogy
PE8_11   Solar planetology
PE8_12   Petrology, sedimentology
PE8_13   Physical geography
PE8_14   Earth observations from space / remote sensing
PE8_15  Geomagnetism, paleomagnetism
PE8_16   Ozone and atmospheric composition
PE8_17   Soil science, tectonics
PE8_18   Waste disposal, water science
Panel LS1 - Molecular, cellular and developmental biology: molecular biology, biochemistry, biophysics, structural biology, cell biology, cell physiology, signal transduction and pattern formation in plants and animals

LS1_1 Molecular biology and interactions
LS1_2 General biochemistry and metabolism
LS1_3 Nucleic acid biosynthesis, modification and degradation
LS1_4 RNA processing and modification
LS1_5 Protein synthesis, modification and turnover
LS1_6 Biophysics
LS1_7 Structural biology (crystallography, NMR, EM)
LS1_8 Morphology and functional imaging of cells
LS1_9 Cell biology and molecular transport mechanisms
LS1_10 Cell cycle and division
LS1_11 Apoptosis
LS1_12 Cell differentiation, physiology and dynamics
LS1_13 Organelle biology
LS1_14 Cell signalling and cellular interactions
LS1_15 Signal transduction
LS1_16 Development, developmental genetics, pattern formation and embryology

Panel LS2 - Genetics, genomics, bioinformatics and systems biology: molecular and cell genetics, genomics, transcriptomics, proteomics, metabolomics, bioinformatics, computational biology, biostatistics, biological modelling and simulation, systems biology

LS2_1 Molecular genetics
LS2_2 Epigenetics and gene regulation
LS2_3 Quantitative genetics
LS2_4 Cell genetics
LS2_5 Comparative genetics
LS2_6 Human genetics
LS2_7 Reverse genetics and RNAi
LS2_8 Genomics, comparative genomics, functional genomics
LS2_9 Proteomics
LS2_10 Transcriptomics
LS2_11 Metabolomics
LS2_12 Glycomics
LS2_13 Bioinformatics
LS2_14 Computational biology
LS2_15 Biostatistics
LS2_16 Systems biology
LS2_17 Biological systems analysis, modelling and simulation
Panel LS3 - Organismic physiology, including infection and immunity:
organogenesis, organ physiology, endocrinology, ageing, regeneration, metabolism, immunobiology, microbiology, virology, parasitology, toxicology

LS3_1 Organ physiology
LS3_2 Comparative physiology
LS3_3 Endocrinology
LS3_4 Ageing
LS3_5 Metabolism, biological basis of metabolism related disorders
LS3_6 Toxicology
LS3_7 Parasite biology
LS3_8 Microbiology, microbial genetics
LS3_9 Virology, viral genetics
LS3_10 Innate immunity
LS3_11 Adaptive immunity
LS3_12 Phagocytosis and cellular immunity
LS3_13 Immunosignalling
LS3_14 Immunological memory and tolerance
LS3_15 Immunogenetics
LS3_16 Biological basis of immunity related disorders

Panel LS4 - Neurosciences: neurobiology, neuroanatomy, neurophysiology, neurochemistry, neuropharmacology, neuroimaging, systems neuroscience, psychiatry

LS4_1 Neurobiology
LS4_2 Neuroanatomy
LS4_3 Neurophysiology
LS4_4 Neurochemistry and neuropharmacology
LS4_5 Systems neuroscience
LS4_6 Cognition
LS4_7 Behaviour
LS4_8 Brain and neuroimaging
LS4_9 Biological basis of neural and psychiatric disorders

Panel LS5 - Evolutionary, population and environmental biology: evolution, ecology, animal behaviour, population biology, biodiversity, biogeography, marine biology, ecotoxicology

LS5_1 Evolutionary biology, biological adaptation
LS5_2 Molecular evolution
LS5_3 Evolution and development
LS5_4 Population biology, population dynamics, population genetics
LS5_5 Ecology, environmental and conservation biology, biodiversity, ecotoxicology, marine biology, radiation biology
LS5_6 Environment and health risks including radiation biology, environmental medicine and toxicology

Panel LS6 - Medical and health science research: aetiology, diagnosis and treatment of disease, public health, epidemiology, pharmacology, regenerative medicine, veterinary medicine, medical ethics

LS6_1 Biological basis of non-communicable diseases, except for neural/psychiatric, immunity-related and metabolism-related disorders. E.g. cancer and cardiovascular diseases
| LS6_2   | Diagnostics                                      |
| LS6_3   | Therapies: drug therapies, gene therapy, surgery |
| LS6_4   | Stem cell biology, regenerative medicine        |
| LS6_5   | Public health and epidemiology                  |
| LS6_6   | Pharmacology and pharmacogenomics               |
| LS6_7   | Health services, health care research           |
| LS6_8   | Veterinary medicine                             |
| LS6_9   | Ethics in medical and health sciences           |

**Panel LS7 - Applied life sciences, biotechnology and bioengineering:** agricultural, animal, fishery, forestry and food sciences; biotechnology, chemical biology, genetic engineering, synthetic biology, industrial biosciences; environmental biotechnology and remediation; bioethics

| LS7_1   | Genetic engineering, transgenic organisms, recombinant proteins, biosensors |
| LS7_2   | Synthetic biology and new bio-engineering concepts                           |
| LS7_3   | Chemical biology                                                             |
| LS7_4   | Agriculture and food: animal husbandry, dairying, livestock raising, crop production, soil biology and cultivation, applied plant biology |
| LS7_5   | Aquaculture, fisheries                                                       |
| LS7_6   | Forestry, biomass production                                                  |
| LS7_7   | Environmental biotechnology; bioremediation; biodegradation                  |
| LS7_8   | Industrial biotechnology: bioreactors, industrial microbiology               |
| LS7_9   | Drug discovery, drug design                                                  |
| LS7_10  | Biofuels, biomimetics                                                        |
| LS7_11  | Biohazards, biological containment, biosafety, biosecurity                   |
| LS7_12  | Ethics in life sciences (other than medical and health sciences)             |
Annex 7: Ethical Review

Introduction

The ERC evaluation procedure includes a check of ethical issues raised by the proposals. An ethical review of proposals involving sensitive ethical issues may take place after the evaluation and before any funding decision by the ERC.

The objective of this ethical review is to make sure that the ERC does not support research which would be contrary to fundamental ethical principles.

Description of Ethical Issues in the Proposal

If applicable, any ethically sensitive issues raised by the proposed research project should be described in a separate document, which shall be provided as supporting document with the proposal. In particular, it should outline the benefit and burden of such research, the effects it may have and how the ethical issues will be managed.

Especially, the following ethical issues should be taken into account:

- **Informed consent**: When describing issues relating to informed consent, it will be necessary to illustrate an appropriate level of ethical sensitivity, and consider issues of insurance, incidental findings and the consequences of leaving the study.

- **Data protection issues**: Avoid the unnecessary collection and use of personal data. Identify the source of the data, describing whether it is collected as part of the research or is previously collected data being used. Consider issues of informed consent for any data being used. Describe how personal identity of the data is protected.

- **Use of animals**: Where animals are used in research the application of the 3Rs (Replace, Reduce, Refine) must be convincingly addressed. Numbers of animals should be specified. Describe what happens to the animals after the research experiments.

- **Human embryonic stem cells**: Research proposals that will involve human embryonic stem cells (hESC) will have to address all the following specific points:
  - the necessity to use hESC in order to achieve the scientific objectives set forth in the proposal.
  - whether the applicants have taken into account the legislation, regulations, ethical rules and/or codes of conduct in place in the country(ies) where the research using hESC is to take place, including the procedures for obtaining informed consent;
  - the source of the hESC
  - the measures taken to protect personal data, including genetic data, and privacy;
  - the nature of financial inducements, if any.

Furthermore, the research proposal should list the countries where research will be undertaken and indicate which ethical committees and regulatory organisations will need to be approached during the life of the project.
Ethical issues table

ERC Grant proposals need to include the Ethical issues table below as a separate Supporting Document annexed to the proposal.

If "YES" is indicated on any issue, the pages in the proposal should be specified where this ethical issue is described.

Answering 'YES' to some of these boxes does not automatically lead to an ethical review. It enables the independent experts to decide if an ethical review is required.

If it is sure that none of the issues apply to a proposal, "YES" needs to be indicated in the box in the last row.

Projects raising specific ethical issues such as research intervention on human beings; research on human embryos and human embryonic stem cells and non-human primates are automatically submitted for ethical review.

Note: Only in exceptional cases will additional information be sought for clarification, which means that any ethical review will be performed solely on the basis of the information available in the proposal.

To ensure compliance with ethical principles, the ERC will undertake ethics audit(s) of selected projects at its discretion.

A web site is being prepared aiming to provide clear, helpful information on ethical issues.
### ETHICAL ISSUES TABLE

<table>
<thead>
<tr>
<th>Informed Consent</th>
<th>YES</th>
<th>PAGE</th>
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<tbody>
<tr>
<td>Does the proposal involve children?</td>
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<tr>
<td>Does the proposal involve patients or persons not able to give consent?</td>
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<td>Does the proposal involve adult healthy volunteers?</td>
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<td>Does the proposal involve Human Genetic Material?</td>
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<td>Does the proposal involve Human biological samples?</td>
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<td>Does the proposal involve Human data collection?</td>
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### Research on Human embryo/foetus

<table>
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<tr>
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<tbody>
<tr>
<td>Does the proposal involve Human Embryos?</td>
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<tr>
<td>Does the proposal involve Human Foetal Tissue / Cells?</td>
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<tr>
<td>Does the proposal involve Human Embryonic Stem Cells?</td>
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### Privacy

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<tbody>
<tr>
<td>Does the proposal involve processing of genetic information or personal data (eg. health, sexual lifestyle, ethnicity, political opinion, religious or philosophical conviction)</td>
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<tr>
<td>Does the proposal involve tracking the location or observation of people?</td>
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### Research on Animals

<table>
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<tr>
<th>YES</th>
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<tbody>
<tr>
<td>Does the proposal involve research on animals?</td>
<td></td>
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<tr>
<td>Are those animals transgenic small laboratory animals?</td>
<td></td>
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<tr>
<td>Are those animals transgenic farm animals?</td>
<td></td>
</tr>
<tr>
<td>Are those animals cloning farm animals?</td>
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<tr>
<td>Are those animals non-human primates?</td>
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### Research Involving Developing Countries

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<tr>
<td>Use of local resources (genetic, animal, plant etc)</td>
<td></td>
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<tr>
<td>Benefit to local community (capacity building ie access to healthcare, education etc)</td>
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### Dual Use

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<tr>
<td>Research having potential military / terrorist application</td>
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</table>

I CONFIRM THAT NONE OF THE ABOVE ISSUES APPLY TO MY PROPOSAL